



STATE OF RHODE ISLAND AND PROVIDENCE PLANTATIONS  
**Department of Labor and Training**  
Center General Complex  
1511 Pontiac Avenue  
Cranston, RI 02920

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Donald L. Carcieri  
Governor  
Adelita S. Orefice  
Director

## **WORKFORCE INVESTMENT NOTICE: 06-14**

**TO:** WORKFORCE INVESTMENT AREAS

**FROM:** John J. O'Hare, Administrator - Workforce Investment Office

**SUBJECT:** Local Plan Modification

**DATE:** June 22, 2007

**Purpose:** To provide guidance to the local Areas in the preparation of the first year modification to the 2 year Local Plan.

**Background:** The Governor must establish procedures governing the modification of local plans. Situations in which modifications may be required by the Governor include significant changes in local economic conditions, changes in the financing available to support WIA title I and partner-provided WIA services, changes in programs delivery strategies, changes to the Local Board structure (Inc. Committee Structures) , or a need to revise strategies to meet performance goals. **{Regs. Sec. 661.355}**

**References:** Workforce Investment Act; WIA final Regulations dated August 11, 2000; Workforce Investment Notice 06-07; Workforce Investment Notice 04-03; TEGL 17-05.

**Discussion:** The attached charts and procedures will allow the Local Areas to prepare the changes for the 1<sup>st</sup> Year (PY2007) of the 2 Year Plan. Charts provided are Budget Summaries and Participant Service Levels for Adult, Dislocated Worker and Youth Programs and a Performance Level chart. A Question and Answer Sheet has been included that identifies the major areas for which updated information may have to be provided. The Local Area should include a fairly detailed Executive Summary of the planned activities as part of the modification package. Changes in governance structure or program design should be noted and explained in the modification. Prior to an anticipated scheduled meeting of the State Workforce Investment Board, the SWIO will

forward the Executive Summary to the members in lieu of the entire Modification package.

**Final Adult, Dislocated Worker and Youth funding levels for PY 2007 will be issued under a separate WIN Notice by the middle of July 2007.**

**Action:** Upon receipt, Locals should begin preparing the Adult and Youth and Dislocated Worker modification for the 1<sup>st</sup> year of the 2-year plan.

**Inquiries:** Questions concerning this subject may be directed to John O'Hare at 462-8782 ([johare@dlt.state.ri.us](mailto:johare@dlt.state.ri.us)) or Bob Garofano at 462-8149 ([bgarofano@dlt.state.ri.us](mailto:bgarofano@dlt.state.ri.us)).

## **PLAN MODIFICATION FORMAT AND PROCEDURES**

### **I. LOCAL PLAN MODIFICATION SUBMISSION**

Section 661.355 of the Workforce Investment Act (WIA) requires the Local Workforce Investment Board of each Local Workforce Investment Area to submit a modification to its 2-year local plan when certain conditions exist.

These formats and procedures will provide Local Areas the opportunity to modify and submit Plan Modifications for the new PY 2007 availability.

Local areas are requested to adhere to the following procedures when submitting their local plans:

- Organize the plan by sections in the following order:
  - Cover page,
  - Executive Summary,
  - Q & A
  - Performance Levels for second year
  - Budget Summaries; Adult, DW, Youth
  - Participant Service Levels; Adult, DW, Youth
- Pages of original and copies should be held together in presentation folder.
- Type text with a font size of 12;

Two copies of the final local plan, with both copies having original signatures, must be submitted no later than **July 1, 2007. (TBD with locals)**

Both draft and final plans should be clearly identified and submitted to the following address:

Adelita Orefice  
Director/WIA Liaison  
Department of Labor & Training  
1511 Pontiac Ave.  
Cranston, RI 02920

## **II. PLAN DEVELOPMENT PROCESS**

Plan Modifications must be submitted in accordance with these instructions.

The plan development process will be completed under the guidance of the Local Workforce Investment Board with subsequent review and approval.

For important time frames that will impact the approval process, see the Proposed Time Line following this document. **(TBD with locals)**

## **III. LOCAL PLAN MODIFICATION APPROVAL PROCESS**

The State will begin reviewing draft Modifications upon receipt in an effort to assist those areas that may have any difficulties in the preparation of the Modification. Technical assistance will be provided to all local areas upon request.

Final Plan Modifications submitted to the State will be presented to the State Workforce Investment Board, acting in its capacity as the State Workforce Investment Board, for review and approval. Plan Modifications will be considered approved with written notification provided from the State.

#### **IV. MODIFICATION CONTENT**

1. **[Ref. WIA Sec. 118(b)(1)(B)]** Has the current and projected employment opportunities in the local area changed from the projected 2-year plan?  
☐ YES ☐ NO Describe if yes.
2. **[Ref. WIA Sec. 118(b)(1)(C)]** Has the job skills necessary to obtain such employment opportunities changed from the projected 5-year plan?  
☐ YES ☐ NO Describe if yes.
3. **[Ref. WIA Sec. 118(b)(2)]** Has the one-stop delivery system designated in the local area changed?  
☐ YES ☐ NO Describe if yes.
4. **[Ref. WIA Sec. 118(b)(2)(B)]** Are all memoranda of understanding signed between the local board and each of the one-stop partners.  
☐ YES ☐ NO Describe if no.
5. **[Ref. WIA Sec.118 (b)(4)]** Has the type and availability of adult and dislocated worker employment and training activities in the local area changed from the projected 2-year plan?  
☐ YES ☐ NO Describe if yes.
6. **[Ref. WIA Sec. 134(d)(4)(G)(ii), Regs. Sec. 663.430]** Has the local Individual Training Account (ITA) system and the procedures for ensuring that exceptions to the use of ITAs changed from the projected 2-year plan?  
☐ YES ☐ NO Describe if yes.
7. **[Ref. WIA Sec.134 (d)(4)(G)]** Has the process to procure contracts for training services, if exceptions to the ITA process are made changed from the projected 2-year plan? Specifically, note OJTs and Customized Training.  
☐ YES ☐ NO Describe if yes.
8. **[Ref. WIA Sec.118 (b)(6)]** Has the type and availability of youth activities in the local area changed from the projected 2-year plan?  
☐ YES ☐ NO Describe if yes.
9. **[Ref. WIA Sec. 117(d)(3)(B)(i)(III), 118(b)(8)]** Has the fiscal agent responsible for the disbursement of grant funds from the entity identified in the 2-year plan?  
☐ YES ☐ NO Describe if yes.

10. **[Ref. WIA Sec.118 (b)(9)]** Has the competitive process used to award the grants and contracts for activities carried out under this plan changed from the projected 2-year plan?  
**[ ] YES [ ] NO Describe if yes.**
11. **[Ref. WIA Sec. 134(d)(4)(E) Regs. 663.600, 661.350(a)(11)]** Are funds allocated to the local area for adult employment and training activities limited and are the priorities the same as projected in the 2-year plan?  
**[ ] YES [ ] NO Describe if no.**

## **V. ASSURANCES**

- 1) The Local Workforce Investment Board, including the chief elected official of the area, and providers receiving funds under Title I of the WIA, will all maintain fiscal controls and fund accounting procedures to ensure the proper disbursement of, and accounting for all funds received through the Workforce Investment Act.
- 2) Local Workforce Investment Board will assure that it shall keep records that are sufficient to permit the preparation of reports required by the Act and shall maintain such records, including standardized records for all individual participants, and submit such reports as the State may require.
- 3) Local Workforce Investment Board assures that it will collect and maintain data necessary to show compliance with the nondiscrimination provisions of the Act. The Board assures compliance with Section 504 of the Rehabilitation Act of 1973 and the American's with Disabilities Act of 1990.
- 4) Local Workforce Investment Board assures that funds will be spent in accordance with the Workforce Investment Act, regulations, written Department of Labor guidance, State guidance, and all other applicable Federal and State laws.
- 5) Local Workforce Investment Board assures that veterans will be afforded employment and training activities authorized in the Workforce Investment Act in compliance with the Jobs for Veterans Act.
- 6) The Local Workforce Investment Board assures that no funds received under WIA will be used to assist, promote, or deter union organizing.
- 7) The Local Workforce Investment Board assures that it developed this plan in consultation with the business community, labor organizations, and required partners.
- 8) Local Workforce Investment Board will assure it will comply with any grant procedures prescribed by the Secretary which are necessary to enter into contracts for the use of funds under WIA; including, but not limited to the following:

**General Administrative Requirements**

29 CFR part 97(OMB Circular A-102) --Uniform Administrative Requirements for State and Local Governments (as amended by the Act)

29 CFR part 95 (OMB Circular A-110) as applicable -- Uniform Administrative Requirements for Institutions of Higher Education

**Audit Regulations and Requirements**

29 CFR part 96 (as amended by OMB Circular A-133) -Single Audit Act;

29 CFR part 99 (OMB Circular A-133) Audit Requirements for recipients of Federal Financial Assistance

**Cost Principles**

OMB Circular A-87 -- (as amended by the Act), Cost Principles for State, Local, and Indian Tribal Governments

OMB Circular A-122 and A-22 Cost Principles for Non-Profit Organizations as applicable.

**Assurances and Certifications**

SF 424 B – Assurances for Nonconstruction Programs;

29 CFR part 31, 32 – Nondiscrimination and Equal Opportunity Assurance (and Regulation);

**Miscellaneous Provisions**

CFR part 93 – Certification Regarding Lobbying (and Regulation);

29-CFR part 98 –Drug Free Workplace and Debarment and suspension; Certifications (and regulation)

## **VI. SIGNATURE PAGE**

This Plan Modification is submitted for the period of July 1, 2007 through June 30, 2008 in accordance with the provisions of the Workforce Investment Act. We further certify that we will operate the Workforce Investment Act Program in accordance with this Modification, the 2-year Plan and applicable federal and state laws and regulations.

### **Local Board Chair:**

_____	_____	_____
Original Signature	Name (printed or typed)	Date

### **Executive Director**

_____	_____	_____
Original Signature	Name (printed or typed)	Date

## Chart of Performance Expectations

PROGRAM GROUP	MEASURE	PERFORMANCE GOALS	
		PY2007	PY2008
		Negotiated	Negotiated
ADULT	<b>Entered Employment Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	82%	83%
	<b>Employment Retention Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	84%	85%
	<b>Average Earnings</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	\$11,030	\$11,194
	<b>Employment and Credential/ Certificate Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	69%	70%
DISLOCATED WORKER	<b>Entered Employment Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	87%	88%
	<b>Employment Retention Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	91%	92%
	<b>Average Earnings</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	\$13,855	\$14,063
	<b>Employment and Credential/ Certificate Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	72%	73%

<b>Chart of Performance Expectations</b>			
<b>PROGRAM GROUP</b>	<b>MEASURE</b>	<b>PERFORMANCE GOALS</b>	
		<b>PY2007</b>	<b>PY2008</b>
		Negotiated	Negotiated
<b>YOUTH AGES 19-21</b>	<b>Entered Employment Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>73.1%</b>	<b>74.1%</b>
	<b>Six Months Employment Retention Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>79.8%</b>	<b>81%</b>
	<b>Six Months Earnings Change</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>\$3,000</b>	<b>\$3,300</b>
	<b>Credential/Certificate Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>56%</b>	<b>57%</b>
<b>YOUTH AGES 14-18</b>	<b>Skill Attainment Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>93%</b>	<b>94%</b>
	<b>Diploma or Equivalent Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>70%</b>	<b>72%</b>
	<b>Retention Rate</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>65.5%</b>	<b>66.5%</b>
<b>EMPLOYERS</b>	<b>Customer Satisfaction</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>78%</b>	<b>79%</b>
<b>PARTICIPANTS</b>	<b>Customer Satisfaction</b> (Section 136 of the Workforce Investment Act [WIA] and TEGL 17-05)	<b>81%</b>	<b>82%</b>
<b>WAGNER- PEYSER</b>	<b>Entered Employment Rate</b> (TEGL 19-06)	<b>63.5%</b>	<b>65%</b>
	<b>Employment Retention Rate</b> (TEGL 19-06)	<b>76%</b>	<b>77%</b>
	<b>Average Earnings</b> (TEGL 19-06)	<b>\$12,000</b>	<b>\$12,800</b>

<b>WORKFORCE INVESTMENT ACT</b>  <b>ADULT</b>  <b>BUDGET SUMMARY</b> <b>AND</b> <b>EXPENDITURE PLAN</b>	<b>WIA NAME:</b>	<b>PY2007/FY2008</b>  <b>MOD.NO.</b>  <b>DATE:</b>
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<b>ADULT ALLOCATION SUMMARY</b>				
		<b>PY2007</b>	<b>FY2008</b>	<b>TOTAL</b>
1	ALLOCATION			
2	TRANSFER - ADULT/DW (+/-)			
3	REALLOCATION (+/-)			
4	CARRY-IN			
5	<b>TOTAL ADJUSTED ALLOCATION</b>			

<b>ADULT BUDGET SUMMARY</b>						
	<b>ALLOCATION</b>	<b>ADMIN.</b>	<b>PROGRAM</b>			
			<b>WIB SUPPORT</b>	<b>ONE STOP</b>	<b>CORE INTENSIVE</b>	<b>TRAINING</b>
<b>PY 2006/FY2007</b>						

<b>ADULT EXPENDITURE PLAN</b>					
		<b>9/30/07</b>	<b>12/31/07</b>	<b>3/31/08</b>	<b>6/30/08</b>
1	ADMIN.				
2	WIB SUPPORT				
3	ONE-STOP				
4	CORE/INTENSIVE				
5	TRAINING				
a	ITA				
b	OJT				
c	CUSTOMIZED				
6	<b>TOTAL</b>				
		<b>9/30/08</b>	<b>12/31/08</b>	<b>3/31/09</b>	<b>6/30/09</b>
1	ADMIN.				
2	WIB SUPPORT				
3	ONE-STOP				
4	CORE/INTENSIVE				
5	TRAINING				
a	ITA				
b	OJT				
c	CUSTOMIZED				
6	<b>TOTAL</b>				

<b>WORKFORCE INVESTMENT ACT</b> <b>DISLOCATED WORKER</b> BUDGET SUMMARY AND EXPENDITURE PLAN	WIA NAME	PY2007/FY2008  MOD.NO.  DATE:
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DISLOCATED WORKER ALLOCATION SUMMARY				
		PY2007	FY2008	TOTAL
1	ALLOCATION			
2	TRANSFER - DW/ADULT (+/-)			
3	REALLOCATION (+/-)			
4	SUPPLEMENTAL ALLOCATION			
5	CARRY-IN			
6	<b>TOTAL ADJUSTED ALLOCATION</b>			

DISLOCATED WORKER BUDGET SUMMARY						
	ALLOCATION	ADMIN.	PROGRAM			
			WIB SUPPORT	ONE STOP	CORE INTENSIVE	TRAINING
PY 2006/FY2007						

DISLOCATED WORKER EXPENDITURE PLAN					
		9/30/07	12/31/07	3/31/08	6/30/08
1	ADMIN.				
2	WIB SUPPORT				
3	ONE-STOP				
4	CORE/INTENSIVE				
5	TRAINING				
a	ITA				
b	OJT				
c	CUSTOMIZED				
6	<b>TOTAL</b>				
		9/30/08	12/31/08	3/31/09	6/30/09
1	ADMIN.				
2	WIB SUPPORT				
3	ONE-STOP				
4	CORE/INTENSIVE				
5	TRAINING				
a	ITA				
b	OJT				
c	CUSTOMIZED				
6	<b>TOTAL</b>				

<b>WORKFORCE INVESTMENT ACT</b>  <b>YOUTH</b>  <b>BUDGET SUMMARY</b> <b>AND</b> <b>EXPENDITURE PLAN</b>	<b>WIA NAME</b>	<b>PY2007</b>  <b>MOD.NO.</b>  <b>DATE:</b>
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		<b>PY2007</b>
<b>1</b>	<b>ALLOCATION</b>	
<b>2</b>	<b>REALLOCATION (+/-)</b>	
<b>3</b>	<b>CARRY-IN</b>	
<b>4</b>	<b>TOTAL ADJUSTED ALLOCATION</b>	

<b>YOUTH BUDGET SUMMARY</b>						
	<b>ALLOCATION</b>	<b>ADMIN.</b>	<b>PROGRAM</b>			
			<b>WIB SUPPORT</b>	<b>ONE STOP</b>	<b>CORE INTENSIVE</b>	<b>TRAINING</b>
<b>PY 2007</b>						

<b>YOUTH EXPENDITURE PLAN</b>					
		<b>9/30/07</b>	<b>12/31/07</b>	<b>3/31/08</b>	<b>6/30/08</b>
<b>1</b>	<b>ADMIN.</b>				
<b>2</b>	<b>WIB SUPPORT</b>				
<b>3</b>	<b>ONE-STOP</b>				
<b>4</b>	<b>CORE/INTENSIVE</b>				
<b>5</b>	<b>CONTRACTED SERVICES</b>				
<b>a</b>	<b>IN SCHOOL</b>				
<b>b</b>	<b>OUT OF SCHOOL</b>				
<b>6</b>	<b>TOTAL</b>				
		<b>9/30/08</b>	<b>12/31/08</b>	<b>3/31/09</b>	<b>6/30/09</b>
<b>1</b>	<b>ADMIN.</b>				
<b>2</b>	<b>WIB SUPPORT</b>				
<b>3</b>	<b>ONE-STOP</b>				
<b>4</b>	<b>CORE/INTENSIVE</b>				
<b>5</b>	<b>CONTRACTED SERVICES</b>				
<b>a</b>	<b>IN SCHOOL</b>				
<b>b</b>	<b>OUT OF SCHOOL</b>				
<b>6</b>	<b>TOTAL</b>				

WORKFORCE INVESTMENT ACT <b>ADULT</b> PARTICIPANT SERVICES PLAN	WIA NAME	PY2007  MOD.NO.  DATE:
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ADULT PARTICIPANT SERVICES PLAN					
		9/30/07	12/31/07	3/31/08	6/30/08
1	CORE				
2	INTENSIVE				
3	TRAINING				
a	ITA				
b	OJT				
c	CUSTOMIZED				
4	TOTAL				
		9/30/08	12/31/08	3/31/09	6/30/09
1	CORE				
2	INTENSIVE				
3	TRAINING				
a	ITA				
b	OJT				
c	CUSTOMIZED				
4	TOTAL				

<b>WORKFORCE INVESTMENT ACT</b> <b>DISLOCATED WORKER</b> PARTICIPANT SERVICES PLAN	<b>WIA NAME</b>	PY2007  MOD.NO.  DATE:
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<b>DISLOCATED WORKER PARTICIPANT SERVICES PLAN</b>					
		9/30/07	12/31/07	3/31/08	6/30/08
1	CORE				
2	INTENSIVE				
3	TRAINING				
a	ITA				
b	OJT				
c	CUSTOMIZED				
4	TOTAL				
		9/30/08	12/31/08	3/31/09	6/30/09
1	CORE				
2	INTENSIVE				
3	TRAINING				
a	ITA				
b	OJT				
c	CUSTOMIZED				
4	TOTAL				

<b>WORKFORCE INVESTMENT ACT</b> <b>YOUTH</b> <b>PARTICIPANT</b> <b>SERVICES</b> <b>PLAN</b>	<b>WIA NAME</b>	<b>PY2007</b>  <b>MOD.NO.</b>  <b>DATE:</b>
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<b>YOUTH PARTICIPANT SERVICES PLAN</b>					
		<b>9/30/07</b>	<b>12/31/07</b>	<b>3/31/08</b>	<b>6/30/08</b>
<b>1</b>	<b>CONTRACTED SERVICES</b>				
<b>a</b>	<b>IN SCHOOL</b>				
<b>b</b>	<b>OUT OF SCHOOL</b>				
<b>2</b>	<b>TOTAL</b>				
		<b>9/30/08</b>	<b>12/31/08</b>	<b>3/31/09</b>	<b>6/30/09</b>
<b>1</b>	<b>CONTRACTED SERVICES</b>				
<b>a</b>	<b>IN SCHOOL</b>				
<b>b</b>	<b>OUT OF SCHOOL</b>				
<b>2</b>	<b>TOTAL</b>				